

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: BALABON, Sam

Appl'n No.: 10/730,360

Filing Date: 09 December 2003

For: SYSTEM AND METHOD FOR TRADING
ABOVE OR BELOW THE MARKET

Group Art Unit: 3624

Examiner: ALPERT, James M.

MS Amendment

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

**INFORMATION DISCLOSURE STATEMENT
PURSUANT TO 37 C.F.R. § 1.105**

Sir:

Under the provisions of 37 C.F.R. § 1.105, Applicant would like to call to the Examiner's attention the references listed on the attached substitute form PTO-1449 (1 sheet).

It is respectfully requested that the listed references be expressly considered during the prosecution of this application, that the Examiner initial the listed references to evidence their consideration, and that the references be made of record therein and appear among the "References Cited" section on any patent to issue therefrom.

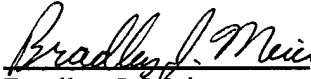
The filing of this Information Disclosure Statement and the enclosed substitute form PTO-1449 shall not be construed as an admission that the information cited is prior art, or is considered to be material to patentability as defined in 37 C.F.R. § 1.56(b).

Since this submission is part of Applicant's first complete communication responding to a Rule 105 requirement, the fee and certification requirements of 37 C.F.R. § 1.97 are waived and no fee is believed due. Nonetheless, although not believed necessary, the Office is hereby authorized to charge any fees required under 37 C.F.R. § 1.16 or § 1.17 or credit any overpayments to Deposit Account No. 11-0600.

The Examiner is invited to contact the undersigned at 202-220-4200 to discuss any matter regarding this application.

Respectfully submitted,

Dated: April 28, 2005


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